

PA-1DC

QUERY CONTROL FORM		RTIS USE ONLY	
Application No. <u>69/853,985</u>	Prepared by <u>JS</u>	Tracking Number <u>5974395</u>	
Examiner-GAU <u>Nerbun-3765</u>	Date <u>7/19/04</u>	Week Date <u>7/28/04</u>	
	No. of queries <u>1</u>	<u>PC-UG IFW</u>	

## JACKET

a. Serial No.	f. Foreign Priority	k. Print Claim(s)	p. PTO-1449
b. Applicant(s)	g. Disclaimer	l. Print Fig.	q. PTOL-85b
c. Continuing Data	h. Microfiche Appendix	m. Searched Column	r. Abstract
d. PCT	i. Title	n. PTO-270/328	s. Sheets/Figs
e. Domestic Priority	j. Claims Allowed	o. PTO-892	t. Other

## SPECIFICATION

- a. Page Missing
- b. Text Continuity
- c. Holes through Data
- d. Other Missing Text
- e. Illegible Text
- f. Duplicate Text
- g. Brief Description
- h. Sequence Listing
- i. Appendix
- j. Amendments
- k. Other

## CLAIMS

- a. Claim(s) Missing
- b. Improper Dependency
- c. Duplicate Numbers
- d. Incorrect Numbering
- e. Index Disagrees
- f. Punctuation
- g. Amendments
- h. Bracketing
- i. Missing Text
- j. Duplicate Text
- k. Other

## MESSAGE

PTO-1449: Please either initial or line through citation(s), copy provided for reference.

Thank you  
initials JS

## RESPONSE

initials



FORM PTO - 1449 (M dified)  
List of Patents and Publications  
For Applicant's Information  
Disclosure Statement  
(Use Several Sheets if Necessary)

ATTORNEY DOCKET NO: 6006-023  
APPLICANT: Marton  
FILING DATE: 5/11/01  
SERIAL NO: 09/853,985  
GROUP: 3765

### U.S. PATENT DOCUMENTS

Examiner's Initials	Ref. Desig.	Document Number	Date	Name	Class	Subclass
	AA1	5,824,056	10/20/98	Rosenberg	623/1	606/191
	AB1	5,849,206	12/15/98	Amon, et al.	216/63	216/37
	AC1	5,858,556	1/12/99	Eckert, et al.	428/586	428/662
	AD1	5,873,904	2/23/99	Ragheb, et al.	623/1	623/11
	AE1	5,725,573	3/10/98	Deamaley, et al.	623/2	427/2.25
	AF1	5,605,714	2/25/97	Deamaley, et al.	427/2.24	427/2.25
	AG1	4,846,834	7/11/89	von Recum, et al.	623/11	623/66
	AH1	5,984,905	11/16/99	Deamaley, et al.	604/265	427/2.24
	AI1	4,751,099	6/14/88	Niino, et al.	427/34	427/423
	AJ1	4,510,182	4/9/85	Cornils, et al.	427/162	427,165
	AK1	5,242,710	9/7/93	Claar, et al.	427/248	427/249

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### FOREIGN PATENT DOCUMENTS

Ref. Desig.	Document Number	Date	Country	Class	Subclass	Trans. Yes No
AL1	97/44692	11/27/97	WIPO	G02B 6/16		
AM1	98/45506	10/15/98	WIPO	C25D 7/04	B23H	
AN1	98/13537	4/2/98	WIPO	C25D 1/00	C23F 1/02	
AO1	99/23977	5/20/99	WIPO	A61F 2/06		
AP1	61-88135		Japan			

### OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

AR1 "Liquid Sources for Chemical Vapor Deposition of Group 6 Metals and Metal Nitrides" by Gordon, et al., [www.techtransfer.harvard.edu/cgi-bin/TALSearch.cgi?full\\_report=1&case=3](http://www.techtransfer.harvard.edu/cgi-bin/TALSearch.cgi?full_report=1&case=3), Case Number 1709

AS1 "Fabrication of Small-Scale Coils and Bands as Photomasks on Optical Fibers for Generation of In-Fiber Gratings, Electromagnets as Micro-NMR Coils, Microtransformers, and Intra-Vascular Stents" [www.techtransfer.harvard.edu/cgi-bin/TALSearch.cgi?full\\_report=1&case=72](http://www.techtransfer.harvard.edu/cgi-bin/TALSearch.cgi?full_report=1&case=72), Case Number 1263

AT1 "Reactions of Biological Cells to Nanostructures", by Curtis, et al., AVS 46<sup>th</sup> International Symposium, Paper BI-WeM2 (October 27, 1999)

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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw a line through citation if not in conformance and not considered. Include a copy of this form with next communication to applicant.



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### U.S. PATENT DOCUMENTS

Examiner's Initials	Ref. Desig.	Document Number	Date	Name	Class	Subclass
	AA2	5,899,935	5/4/99	Ding	623/1	623/12
	AB2	5,723,219	3/3/98	Kolluri	428/411.1	428/407
	AC2	5,811,151	9/22/98	Hendricks, et al.	427/2.24	427/2.3
	AD2	5,866,113	2/2/99	Hendricks, et al.	424/78.17	424/78.18
	AE2	5,084,151	1/28/92	Vallana	204/192.11	204/192.14
	AF2	5,477,864	12/26/95	Davidson	128/771	
	AG2	5,607,463	3/4/97	Schwartz, et al.	623/1	623/12
	AH2	5,609,629	3/1/97	Fearnot, et al.	623/1	623/11
	AI2	5,647,858	7/15/97	Davidson	604/264	
	AJ2	5,649,951	7/22/97	Davidson	606/198	
	AK2	5,690,670	11/25/97	Davidson	606/198	606/191

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### FOREIGN PATENT DOCUMENTS

Ref. Desig.	Document Number	Date	Country	Class	Subclass	Trans. Yes No
AL2	01/55473	8/2/01	WIPO/PCT	C23C	14/00	
AM2	97/07257	2/27/97	WIPO/PCT			
AN2	1452370	3/13/69	Germany			
AO2	0 400 947	12/5/90	EPO			
AP2	0 442 303	8/21/91	EPO			

### OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

AR2 "Biocompatibility of Cardiac Cells on Silane-Modified Surfaces" AVS 46<sup>th</sup> International Symposium, Paper BI-WeM5 (October 27, 1999)

AS2 "Biofunctionalization of Surfaces with Peptide Amphiphiles" AVS 46<sup>th</sup> International Symposium, Paper No. BI-WeM7 (October 27, 1999)

AT2 "Plasma Copolymer Surfaces for Cell Culture" AVS 46<sup>th</sup> International Symposium, Paper No. Paper BI-WeM9 (October 27, 1999)

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### U.S. PATENT DOCUMENTS

Examiner's Initials	Ref. Desig.	Document Number	Date	Name	Class	Subclass
	AA3	5,735,896	4/7/98	Amon, et al.	623/11	623/1
	AB3	5,765,418	6/16/98	Rosenberg	72/47	72/42
	AC3	5,772,864	6/30/98	Moller, et al.	205/73	205/75
	AD3	5,782,910	7/21/98	Davidson	623/3	623/11
	AE3	5,824,049	10/20/98	Ragheb	623/1	606/194
	AF3	5,728,158	3/17/98	Lau, et al.	623/12	600/3
	AG3	5,840,009	11/24/98	Fischell, et al.	623/1	623/11
	AH3	5,728,908	7/21/98	Cahalan, et al.	606/198	623/1
	AI3	6,042,597	3/28/00	Kveen, et al.	623/1	623/12
	AJ3	6,071,305	6/6/00	Brown, et al.	623/1	623/12
	AK3	5,972,027	10/26/99	Johnson	623/1	623/12

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Ref. Desig.	Document Number	Date	Country	Class	Subclass	Trans. Yes No
AL3	11267462	10/5/99	Japan			
AM3	51055724	5/17/76	Japan			
AN3	01/53559	7/26/01	WIPO/PCT	C23C	14/14	
AO3	01/56502	8/9/01	WIPO/PCT	A61F	2/06	
AP3	00/04204	8/2/01	WIPO/PCT			

### OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

AR3 "Plasma Co-polymer Surfaces for the Controlled Adsorption of Common Proteins" AVS 46<sup>th</sup> International Symposium, Paper No. BI-FrM2 (October 29, 1999)

AS3 "Biofilm - Titanium Chemistry of Adhesion Using X-ray Photoelectron Spectroscopy" AVS 46<sup>th</sup> International Symposium, Paper No. BI-FrM10

AT3 "Nanoscale Patterning of Gold for Attachment of Supported Lipid Bilayers" AVS 46<sup>th</sup> International Symposium, Paper No. BI-FrM10

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Examiner's Initials	Ref. Desig.	Document Number	Date	Name	Class	Subclass
	AA4	6,086,773	7/11/00	Dufresne, et al.	216/8	216/48
	AB4	5,630,840	5/20/97	Mayer	623/1	623/11
	AC4	5,955,588	9/21/99	Tsang, et al.	536/21	514/56
	AD4	5,968,091	10/19/99	Pinchuk, et al.	623/1	600/36
	AE4	5,962,138	10/5/99	Kolluri, et al.	428/411.1	428/497
	AF4	5,387,247	2/7/95	Vallana, et al.	623/2	623/12
	AG4	5,607,463	3/4/97	Schwartz, et al.	623/1	623/12
	AH4	6,106,642	8/22/00	DiCarlo, et al.	148/563	148/675
	AI4	5,891,507	4/6/99	Jayaraman	427/2.25	427/318
	AJ4	5,744,515	4/28/98	Clapper	523/113	523/114
	AK4	5,932,299	8/3/99	Katoot	427/508	427/385.5

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### FOREIGN PATENT DOCUMENTS

Ref. Desig.	Document Number	Date	Country	Class	Subclass	Trans. Yes No
AL4	99/62432	9/12/99	WIPO/PCT	A61F	2/01	
AM4	00/54704	9/21/00	WIPO/PCT	A61F	2/06	
AN4						
AO4						
AP4						

### OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

AR4 "Focused Ion Beam NonaFabrication", <http://www.glue.umd.edu/~astan/avs04.htm>

AS4 "Amorphous Carbon and C:N Thin Films" <http://www.glue.umd.edu/~astan/avs01.htm>

AT4 "Multilayer Ceramic/Metallic Coatings by Ion Beam-Assisted, Electron Beam Physical Vapor (EB-PVD) Deposition, Penn State Applied Research Laboratory, pp. 1-4 (1997)

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Examiner's Initials	Ref. Desig.	Document Number	Date	Name	Class	Subclass
	AA5	5,683,453	11/4/97	Palmaz	623/1	623/12
	AB5	5,656,036	8/12/97	Palmaz	623/12	606/195
	AC5	5,938,697	8/17/99	Killion, et al.	623/1	623/12
	AD5	5,938,682	8/17/99	Hojeibane, et al.	606/198	623/1
	AE5	5,913,896	6/22/99	Boyle, et al.	623/1	623/11
	AF5	5,879,370	3/9/99	Fischell, et al.	606/198	623/1
	AG5	5,868,782	2/9/99	Frantzen	606/198	606/1
	AH5	5,843,117	12/1/98	Alt, et al.	606/194	623/1
	AI5	5,855,600	1/5/99	Alt	623/1	623/12
	AJ5	5,824,045	10/20/98	Alt	623/1	606/191
	AK5	5,843,117	12/1/98	Alt, et al.	606/194	623/1

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AL5						
AM5						
AN5						
AO5						
AP5						

### OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

AR5 "Benefits From Diamond-Like Coated Stainless Steel Stents", <http://www.phytis.com/stents0.htm>, pp. 1-2

AS5 "Adhesion of Bovine Serum Albumin on Coated DLC (Diamond-Like) and Uncoated (SiO<sub>2</sub>/TiO<sub>2</sub>) Sensor Chips", <http://www.phytis.com/stent4.htm>, pp. 1-2

AT5 "Flow Cytometric Investigation", <http://www.phytis.com/stent6.htm>, pp. 1-3

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### U.S. PATENT DOCUMENTS

Examiner's Initials	Ref. Desig.	Document Number	Date	Name	Class	Subclass
	AA6	5,780,807	7/14/98	Saunders	219/121	29/557
	AB6	5,607,445	3/4/97	Summers	606/198	623/1
	AC6	5,776,161	7/7/98	Globerman	606/194	606/192
	AD6	5,593,442	1/14/97	Klein	623/12	623/1
	AE6	5,569,295	10/29/96	Lam	606/198	606/194
	AF6	5,514,154	5/7/96	Lau, et al.	606/195	606/194
	AG6	5,895,406	4/20/99	Gray, et al.	606/198	623/1
	AH6	5,876,432	3/2/99	Lau, et al.	623/1	623/12
	AI6	6,015,429	1/18/00	Lau, et al.	623/1	623/12
	AJ6	5,919,225	7/6/99	Lau, et al.	623/1	623/12
	AK6	6,066,167	5/23/00	Lau, et al.	623/1	623/12

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### FOREIGN PATENT DOCUMENTS

Ref. Desig.	Document Number	Date	Country	Class	Subclass	Trans. Yes No
AL6						
AM6						
AN6						
AO6						
AP6						

### OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

AR6 "Pre-clinical and Clinical Evaluation", <http://www.phytis.com/stent2.htm>, pp. 1-2

AS6 "The New Phytis Stent", <http://www.phytis.com/stent1.htm>, pp. 1-2

AT6 "Invulnerability and Resistance of DLC-Coating", <http://www.phytis.com/stent3.htm>, pp. 1-3

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### U.S. PATENT DOCUMENTS

Examiner's Initials	Ref. Desig.	Document Number	Date	Name	Class	Subclass
	AA7	6,066,168	5/23/00	Lau, et al.	623/1	623/1.15
	AB7	6,056,776	5/2/00	Lau, et al.	623/1	623/12
	AC7	5,603,721	2/18/97	Lau, et al.	606/195	606/194
	AD7	6,059,808	5/9/00	Boussignac	606/191	606/194
	AE7	6,033,433	3/7/00	Ehr, et al.	623/1	623/12
	AF7	6,027,526	2/22/00	Limon, et al.	623/1	623/12
	AG7	6,022,370	2/8/00	Tower	606/194	606/195
	AH7	5,972,018	10/26/99	Israel, et al.	606/198	623/1
	AI7	6,066,169	5/23/00	McGuiness	623/1.16	
	AJ7	5,277,933	1/11/94	Claar, et al.	427/248	427/249
	AK7	5,855,955	1/5/99	Claar, et al.	427/248.1	427/249

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Ref. Desig.	Document Number	Date	Country	Class	Subclass	Trans. Yes No
AL7						
AM7						
AN7						
AO7						
AP7						

### OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

AR7 "Material In Use and Its Biocompatibility", <http://www.phytis.com/stent5.htm>, pp. 1-2

AS7 "Expertise Concerning the Implementation of the PHYTIS DIAMOND AS STENT Performed at the Institute for Experimental Medicine (IEM)", <http://www.phytis.com/stent9.htm>, pp. 1

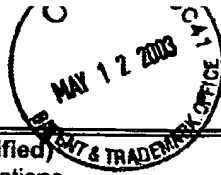
AT7 "PHYTIS L.D.A. Home Page information", <http://www.phytis.com/content/htm>, pp. 1-15

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	AA8	5,945,153	8/31/99	Dearnaley	427/2.12	427/527
	AB8	5,925,063	7/20/99	Khosravi	606/200	606/213
	AC8	5,061,914	10/29/91	Busch, et al.	337/140	60/527
	AD8	6,096,175	8/1/00	Roth	204/192	204/192.14
	AE8	5,907,893	6/1/99	Zadno-Azizi	29/6.1	29/412
	AF8	6,019,784	2/1/00	Hines	623/1	600/36
	AG8	5,545,210	8/13/98	Hess, et al.	623/1	623/11
	AH8	5,628,788	5/13/97	Pinchuk	623/1	623/12
	AI8	5,788,558	8/4/98	Klein	451/136	451/113
	AJ8	5,370,684	12/6/94	Vallana, et al.	623/1	623/11
	AK8	5,049,251	9/17/91	Inone	204/192	204/298

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AL8						
AM8						
AN8						
AO8						
AP8						

### OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

AR8 "Risk Analysis of Stents With a Diamond-Like Coated Surface For Use in Prosthetic Implants", <http://www.phytis.com/risk.htm>, pp. 1-6

AS8 "Directions for Use, DIAMOND AS® Stent", <http://www.phytis.com/dircuse.htm>, pp. 1-8

AT8 "Stents: Literature", <http://www.phytis.com/liter.htm>, pp. 1-8

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	AA9	5,133,845	7/28/92	Vallana, et al.	204/192	204/192.11
	AB9	5,421,955	6/6/95	Lau, et al.	216/48	156/244
	AC9	5,540,820	7/30/96	Terakado, et al.	204/192.3	204/192.15
	AD9	5,685,961	11/11/97	Pourrezaei, et al.	204/192	204/192.14
	AE9	5,843,289	12/1/98	Lee, et al.	204/192	204/192.32
	AF9	5,855,802	1/5/99	Acciai, et al.	216/8	216/8
	AG9	5,951,881	9/14/99	Rogers, et al.	216/41	216/8
	AH9	5,798,042	8/25/98	Chu, et al.		
	AI9	5,329,514	7/12/94	Eguchi, et al.		
	AJ9	5,376,469	12/27/94	Bak, et al.		
	AK9	5,158,750	10/27/92	Finicle		

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AL9						
AM9						
AN9						
AO9						
AP9						

### OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

AR9 "Vacuum Conditions for Sputtering Thin Film TiNi", Journal of Vacuum Science and Technology, JVST A Online, pp. 1-2 (Abstract view)

AS9 "Oriented nickel-titanium shape memory alloy films prepared by annealing during deposition", by Kathleen Gisser, et al., Applied Physics Letters, Vol. 61, Issue 14, pp. 1632-1634 (Abstract view)

AT9 "Relative importance of bombardment energy and intensity in ion plating", K.S. Fancey, et al., Journal of Vacuum Science & Technology A: Vacuum, Surfaces and Films, Vol. 13, Issue 2, pp. 428-435 (Abstract view) March 1995

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**FORM PTO - 1449 (Modified)**  
List of Patents and Publications  
For Applicant's Information  
Disclosure Statement  
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ATTORNEY DOCKET NO: 6006-023  
APPLICANT: Marton  
FILING DATE: 5/11/01  
SERIAL NO: 09/853,985  
GROUP: 3765

### U.S. PATENT DOCUMENTS

Examiner's Initials	Ref. Desig.	Document Number	Date	Name	Class	Subclass
	AA10	6,312,463	2/1/00	Rourke, et al.	623	1.39
	AB10	2001/0039449	1/24/00	Johnson, et al.	623	1.39
	AC10	6,194,088	2/27/01	Yoshida, et al.	428	660
	AE10	5,728,150	3/17/98	McDonald, et al.	623	1
	AF10					
	AG10					
	AH10					
	AI10					
	AJ10					
	AK10					

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### FOREIGN PATENT DOCUMENTS

Ref. Desig.	Document Number	Date	Country	Class	Subclass	Trans. Yes No
AL10						
AM10						
AN10						
AO10						
AP10						

### OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

AS10 "Thin film shape memory microvalves with adjustable operation temperature" by M. Kohl, D. Dittman, E. Quandt, and B. Winzek, Sensors and Actuators, Vol. 83, No. 1-3, pp. 214-219 (May 2000)

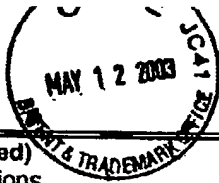
AR10 "Multicomponent Film Deposition by Target Biasing", IBM Technical Disclosure Bulletin, pp. 1-2 (July 1980)

AT10 "Applications of Shape-Memory Alloy Thin Films" by A.D. Johnson and V.V. Martynov, Proceedings of the Second International Conference on Shape Memory and Superelastic Technologies Asilomar Conference Center, Pacific Grove, California, USA, pp. 1-8 (1997)

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1. "The Effects of Ion Irradiation on NiTi Shape Memory Alloy Thin Films" by F. Goldberg and E. Knystautas, Proceedings of the Second International Conference on Shape Memory and Superelastic Technologies Asilomar Conference Center, Pacific Grove, California, USA, pp. 177-182 (1997)
2. "Constitutive Parts of a Shape Memory Alloy Titanium Nickel Thin Film Catheter" by L. Buchailot, et al., Proceedings of the Second International Conference on Shape Memory and Superelastic Technologies Asilomar Conference Center, Pacific Grove, California, USA, pp. 183-188 (1997)
3. "The Effect of HCD Technological Factors on the NiTi SMA Film Thickness" by Q. Pingshan, et al., Proceedings of the Second International Conference on Shape Memory and Superelastic Technologies Asilomar Conference Center, Pacific Grove, California, USA, pp. 173-176 (1997)
4. "The Characteristics of NiTi HCD-Deposited SMA Films" by H. Weixin, et al., Proceedings of the Second International Conference on Shape Memory and Superelastic Technologies Asilomar Conference Center, Pacific Grove, California, USA, pp. 167-172 (1997)
5. "Microstructure of Ti-Rich TiNi Thin Films" by A. Ishida, et al., Proceedings of the Second International Conference on Shape Memory and Superelastic Technologies Asilomar Conference Center, Pacific Grove, California, USA, pp. 161-166 (1997)
6. "Thin Film Shape Memory Alloy Microactuators" by TiNi Alloy Company (online)
7. "Progress in Thin Film Shape Memory Microactuators" by Johnson, et al., [www.sma-mems.com/recent.htm](http://www.sma-mems.com/recent.htm) (Overview), pp 1-5
8. "The influence of ion irradiation during film growth on the chemical stability of film/substrate systems" by W. Ensinger, Surface and Coatings Technology, Vol. 80, pp. 35-48 (1996)
9. "Sputtering Targets High-Quality Thin Film Materials" by AMETEK Specialty Metal Products online at [www.ametek84.com/fd-sputtering.html](http://www.ametek84.com/fd-sputtering.html), pp. 1-3

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10. "A Concise History of Vacuum Coating Technology, Part 2: 1940 to 1975" by D. Mattox, [www.svc.org/HistoryofVac2.html](http://www.svc.org/HistoryofVac2.html), pp 1-15

11. "Model Surfaces for Studying and Controlling the Adhesion of Cells" by M. Mrksich, AVS 47<sup>th</sup> International Symposium, Invited Paper No. BI+EL-TuA1 (October 3, 2000)

12. "Cell Response to Chemically and Topographically Modified Surfaces" by D.S. Sutherland, et al., AVS 47<sup>th</sup> International Symposium, Paper No. BI+EL-TuA3 (October 3, 2000)

13. "Tissue Formation of Hepatocytes on Micro-Porous Films of Polylactide" by T. Nishikawa, et al., AVS 47<sup>th</sup> International Symposium, Paper No. BI+EL-TuA10 (October 3, 2000)

14. "Endothelial Cell Organization on Micropatterned Protein Surfaces" by R. Daw, et al., AVS 47<sup>th</sup> International Symposium, Paper No. BI-WeP21 (October 4, 2000)

15. "The Nanomechanical Properties of Thin Films" by J.E. Houston, AVS 47<sup>th</sup> International Symposium, Paper No. TF-TuA1 (October 3, 2000)

16. "Anomalous Plastic and Elastic Behaviors of Sputter-deposited TiN with 10 or 20 Inserted Thin Al Layers Evaluated by Nanoindentation" by E. Kusano, et al., AVS 47<sup>th</sup> International Symposium, Paper No. TF-TuA3 (October 3, 2000)

17. "Recent Progress in the Application of Thin Film Shape Memory Alloys" by A.D. Johnson and J.D. Busch, Proceedings of the First International Conference on Shape Memory and Superelastic Technologies Asilomar Conference Center, Pacific Grove, California, USA, pp. 299-310 (1994)

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19. "Thin-film Processing of TiNi Shape Memory Alloy" by J.A. Waker and K.J. Gabriel, Sensors and Actuators, A21-A23, pp. 243-246 (1990)

20. "Sputter-deposition of TiNi, TiNiPd and TiPd films displaying the two-way shape-memory effect" by E. Quandt, et al., Sensors and Actuators, A 53, pp. 434-439 (1996)

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